

Annual Report for the OAK Fund, Academic Year 2013-2014

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October 14, 2014

Memorandum

To: Dr. Glen A. Laine, Vice President of Research
Division of Research

David H. Carlson, Dean
Texas A&M University Libraries

From: Dr. Bruce Herbert, Director
Office of Scholarly Communications, Sterling C. Evans Library

Subject: Annual Report for the OAK Fund, Academic Year 2013-2014

Please find the attached annual report that covers the first year of the OAK Fund. Our review shows the program was a success in meeting its stated goals to support Open Access publishing by Texas A&M scholars.

It appears that the success of the program in its second year will likely exceed the outcomes of the first year. In the first 45 days of opening the 2014-15 funding cycle, the Oak Fund program has already approved almost \$18,000 in support for open access publication fees.

One recipient (a repeat applicant from the previous year) wrote, in response to his notification of funding approval: "We chose this open access journal because it will make our work more widely available and because we believe open access publication is important for advancing biomedical sciences... THANK YOU! This is wonderful news and a great help to my lab and my department."

Oak Fund Annual Report: Year One

What are the Goals of the Program?

The Open Access to Knowledge (OAK) Fund at Texas A&M underwrites publication charges for scholarly journal articles, book chapters, and monographs published in open access publications. The OAK Fund was established to help fulfill Texas A&M University's commitment to the Compact for Open-Access Publishing Equity (<http://www.oacompact.org/>). The Texas A&M Libraries and the Vice President for Research committed \$25,000 each to fund Open Access publications for the 2013-2015 academic years. This document reports on the outcomes for the first year of the OAK Fund program.

The goals of the OAK Fund at Texas A&M University are to support and encourage:

- (1) Texas A&M faculty and research staff who want to publish in open-access venues but who do not have other sources of funding to cover open access publication charges.
- (2) Innovative scholarly publishing that takes advantage of the opportunities of distribution and open access presented by digital and networking technologies; and
- (3) Increased access to Texas A&M research and scholarship.

In its first year of operation, the OAK Fund distributed funds to 62 faculty in support of publication fees for 35 articles. Awards averaged \$1,245 per application. OAK Funds were distributed to faculty from 20 different departments, 10 different colleges, and three campuses (TAMU, TAMUG, and the Health Sciences Center). Interestingly, 42% of the faculty funded were assistant professors indicating that the OAK Fund may also be serving as a useful seed funding mechanism to help support early career scholars at Texas A&M.

How is the Program Managed?

Eligibility

Any current member of the faculty or full-time research staff at Texas A&M University and the Texas A&M Health Sciences Center are eligible to apply to the OAK Fund, including researchers at the Galveston or Qatar campuses or affiliated State Agencies who hold joint appointments at Texas A&M University. OAK funds apply to Open Access publication charges fees for peer-reviewed articles and book chapters or scholarly monographs published in journals or monographs that provide free online access to all peer-reviewed articles they publish. Manuscripts published in journals or monographs with a hybrid open-access model or delayed open-access model are not eligible for support from the OAK Fund.

Application review Process

The Office of Scholarly Communications (OSC) in the Sterling C. Evans Library administers the OAK Fund. OSC has advertised the program through campus-wide emails, a website, and presentations to various groups around campus. The OAK Fund application review process is as follows:

1. Eligibility for funding can be found at <http://scholarlycommunication.library.tamu.edu/oak-fund/>. Applications are submitted to <http://scholarlycommunication.library.tamu.edu/oak-fund/application.html>.
2. Author(s) status verified against campus LDAP database. Publication OA and peer review status are verified using: Directory of Open Access Journals, Ulrich's Periodicals Directory, or Open Access Scholarly Publishers Association member list. Publication fees checked against fee schedule on publisher's website.
3. If eligibility criteria met, Project Manager calculates individual author allocation based on total OA fee divided by number of eligible TAMU authors. Cumulative allocations to authors are tracked. Each author can request a maximum of \$3000 per annum.
4. If the application is approved and ready for payment, an acceptance letter is sent to applicant and TAMU co-authors with directions for payment/reimbursement via Library Business Office.
5. If application declined, an explanatory letter is sent detailing reasons and, where necessary, pointers to relevant resources provided in support of successful future application.
6. The article is archived in the faculty publications collection in Oak Trust, Texas A&M's institutional repository.

Faculty Response

We have solicited faculty feedback through email. Feedback on the management of the program has generally been positive.

Dr. Clement – THANK YOU! This is wonderful news and a great help to my lab and my department. Thank you so much!

Professor, College of Veterinary Medicine and Biomedical Sciences

Thanks so much, Bruce – you all have been great! I hope to be in touch with you in the future as I continue on this publishing journey

Assistant Professor, Texas A&M University

Thank you for the rapid feedback. I must state that I found the directions on eligible journals confusing as I tried to compare the oak descriptors against the journal so I was unclear.

Associate Professor, Texas A&M University

Thank you for your reply and detailed explanation!

Associate Professor, College of Veterinary Medicine & Biomedical Sciences

Note: Both authors requested support for publication fees to a hybrid OA journal. In response to the first criticism, we edited the web site and increased our communications with faculty on the different types of OA publications.

What are the Program Outcomes?

Support Publishing in Open Access Venues

The OAK Fund distributed 35 awards that averaged \$1,245 (Table 1). Thirteen applications were denied because they did not meet the fund's guidelines. Most of the declined awards requested support to cover publication fees for hybrid Open Access journals that also charge subscriptions.

Most applications were for manuscripts with multiple TAMU authors.

Interestingly, almost half of the applications were requests for support of assistant professors (Table 2).

We can speculate on explanations for the percentage of requests from assistant professors. First, younger scholars may have greater awareness of Open Access issues or have internalized Open Access as a value than their older colleagues. Second, younger scholars may also be more open to publishing in new journals with new publishing models, like PLoS One (<http://www.plosone.org/>), that have been created to publish Open Access scholarship. Finally, assistant professors may also have greater need for seed funding to cover the costs of

publication fees. It is likely that all of these reasons are true to some extent. Therefore, the OAK Fund is not only succeeding in widely supporting a move to Open Access publishing at Texas A&M, it may also be an important source of seed funding for faculty that help develop their research programs.

Table 1. Characteristics of OAK Fund award, 2013-2014.

Award Characteristics	Amount
Applications Funded	35
Applications Declined	13
Average Award Amount	\$1245
Highest Award	\$2250
Lowest Award	\$200
Awards, Total Awarded 2013-2014 ¹	\$48,026

1. The total includes \$4200 that was encumbered to the second year.

Table 2. Faculty funded by the OAK Fund, 2013-2014.

Faculty	Number	Percentage
Total Faculty Funded	62	-
Assistant Professors Funded	26	42%
Associate Professors Funded	14	23%
Full Professors Funded	19	31%
Unknown	3	4%

Applications were submitted throughout the academic year, with the requests consistently exceeding the amount of funds distributed (Figure 1). We expect that 2014-2015 requests will exceed available funding, as faculty understand which journals are eligible for funding.

Figure 1. OAK Fund cumulative requests and awards, 2013-2014.

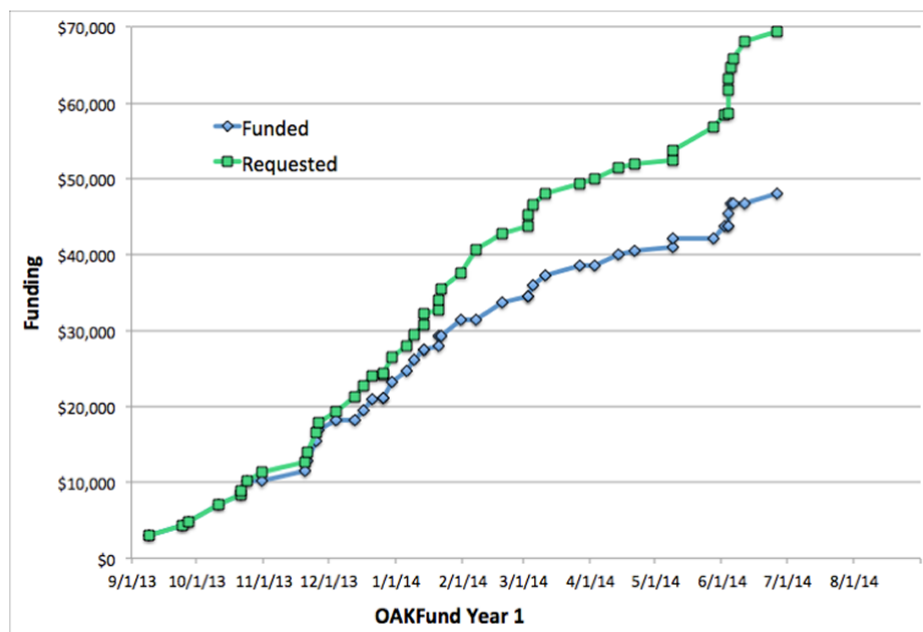


Table 3. Number of OAK Fund awards by college, 2013-2014.

College	Number of Awards	Percentage of Awards
Agriculture & Life Sciences	8	23
Vet. Medicine & Biomedical Sci.	7	20
Engineering	6	27
Liberal Arts	3	9
School of Public Health	3	9
TAMU-Galveston	3	9
Medicine	2	6
Architecture	1	3
Education	1	3
Science	1	3

The awards for the academic year 2013-2014 were distributed to authors in a large number of organizations. Funds were distributed to 20 departments and 10 colleges on three campuses.

More than half the awards were made to faculty in the Colleges of Agriculture, Veterinary Medicine & Biomedical Sciences, and Engineering (Table 3). While the number of awards will obviously scale with the number of faculty in each College, these results also show that we can increase marketing to faculty in Colleges that receiving small numbers of awards, such as the Colleges of Education and Science.

Increased Access to Texas A&M Research and Scholarship through Innovative Publishing

Research being published Open Access through support from the OAK Fund is reasonably distributed across academic disciplines. This suggests that growth in Open Access publishing at Texas A&M will not likely be limited to specific areas of scholarship.

What is interesting is that the distribution among scholarly areas is not match by even distribution among OA journals (Table 7). PLoS One, by far, is the major publishing avenue used by TAMU scholars to publish their work Open Access. This likely reflects the quality of the journal as well as its rapid development of its scholarly reputation.

Table 4. Number of OAK Fund awards by journal, 2013-2014.

Publisher	Journal	Number	Pub. Fee ¹
AIP Publishing LLC	Applied Physics Letters: Materials	1	\$1200
Am. Soc. Microbiol.	mBio	2	\$2190
Avens	Journal of Addiction and Prevention	1	\$500
BioMedCentral	BMC Genomics	1	1460
	Environmental Health	1	1619
	International J. Health Geographics	1	1619
Centre for Promoting Ideas	Int. J. Humanities & Social Sci.	1	200
Frontiers Media SA	Frontiers in Behavioral Neuroscience	1	2178
	Frontiers in Neurorobotics	1	533
	Frontiers in Pediatric Endocrinology	1	2212
	Frontiers in Plant Sciences	1	1306
	Frontiers in Psychology	1	1341
Hindawi	Journal of Addiction	1	600
IEEE	IEEE Trans. Emerging Topics Computing	1	1350
MDPI	Int. J. Environ Res. Public Health	1	552
Nature	Scientific Reports	1	1350
OMICS Publ. Group	Fisheries and Aquaculture Journal	1	919
PLoS	PLoS Neglected Tropical Diseases	1	2250
	PLoS One	13	1350
Springer	Psychopharmacology	1	----
Taylor and Francis	Materials Research Letters	1	500
Wiley	Physiological Reports	1	1500

1. Publication fee funded through the OAK Fund depends on both the publisher's fee as well as the number of coauthors.

This implies that we can promote Open Access publishing on campus by helping faculty identify quality OA Journals. Given the rapid proliferation of OA journals, many faculty may not trust OA journals. Publishers of OA journals used by TAMU authors include new publishers (e.g. PLoS and Hindawi), traditional commercial publishers (e.g. Nature and Springer), and professional societies (e.g. AIP and the American Society of Microbiology). The library can likely provide faculty guidance on new Open Access journals that have strong academic reputations.

Open Access Publishing at Texas A&M University

Open Access (OA) scholarly literature is “digital, online, free-of-charge, and free of most copyright and licensing restrictions”¹, where the author, as copyright holder, consents in advance to let users “copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship”².

Under this model, authors retain copyright of their work in contrast to commercial journals where authors typically give up all rights to the publisher including any unanticipated future applications or usage. The Texas A&M libraries are an active advocate of open access, believing that open access can help address both the price barriers and the permission barriers that restrict and undermine global access to the products of Texas A&M’s scholarly and creative work.

Interestingly, Texas A&M is reasonably well represented compared to our peers in the percentage of our scholarly journal publications that are published Open Access (Table 5). Still, publishing through Open Access remains a small percentage of all our publications suggesting we have room for serious growth.

Table 5. Open Access publishing at major research institutions, 2013¹.

Name	Mandate	OA Fund	2013 Total Journal Articles	2013 OA Journal Articles	% OA
UNC	No	Yes	5162	540	10.5%
UC San Diego	2013	Yes ⁴	6333	628	9.9%
UC Berkeley	2013	Yes ⁴	6918	651	9.4%
UCLA	2013	Yes ⁴	7377	618	8.4%
Wisconsin	No	Ended 2014 ²	5890	496	8.4%
Michigan	Copyright addendum ³	Ended 2012	8791	682	7.8%
TAMU	Only ETDs	Yes	4214	311	7.4%
UT Austin	No	No	4278	238	5.6%

1. The bibliometric data were collected from the Web of Science, March 31, 2014.

2. Wisconsin OA Fund: <http://www.library.wisc.edu/scp/openaccess/>

3. U Michigan Copyright addendum: <http://guides.lib.umich.edu/content.php?pid=171549&sid=2465787>

4. UC System OA Fund: <http://ucsd.libguides.com/openaccess>

There are three reasons why we optimistic about the direction Open Access is taking here at Texas A&M and believe that the OAK Fund is important in supporting this transition in scholarly communications. First, developing the practices and systems that support Open Access publishing at Texas A&M will support transitions required by the emerging Federal mandates for public access to published scholarship and research data by Federal agencies with more than \$100 million in funding.

Second, Open Access publishing will likely emerge as an important mechanism that supports Texas A&M’s land grant mission. Texas A&M University was established as Texas’ only land grant university through the First Morrill Act (1862), which sought to provide a broad segment of the population with a practical education that had direct relevance to their daily lives.

Finally, Open Access is likely to help support the scholarly reputations of TAMU authors through its impact on article citation rates. In limited research, publishing as Open Access appears to have a significant positive impact on citation rates.

¹ Suber, P. *Open Access*. Cambridge: The MIT Press, 2012. Epub.

² <http://openaccess.mpg.de/286432/Berlin-Declaration>

This relationship³ appears to be

- Significant for many scientific and social science disciplines where the tools for citation tracking are more robust and comprehensive
- Particularly true for scholarship made available through repositories that are routinely used by the disciplinary communities, such as ArXiv in the physics community.
- Due to the articles being freely available (OA) and/or available earlier than those available only through print.

Faculty Feedback on Open Access Publishing

We have also collected faculty feedback on two questions. First, we asked the need addressed by the OAK Fund. Second, we asked on the faculty's views of the significance of Open Access publishing.

The OAK Fund is needed for our research team because of the extra expense encumbered by the investigators who choose open access publishing.

Professor, College of Veterinary Medicine and Biomedical Sciences

I learned from my colleagues Drs. Towne and Ory about the Oak Fund. We are in big need from school to support our publication in some open access journals. These journals are particularly important in some new transdisciplinary fields. They are so new so haven't been widely recognized by traditional disciplines or have not yet gained good publication foundation in some traditional paper journals. Some journals have chosen to stay online only. For example, in my research of mobile health, some high impact journals such as Journal of Medical Internet Research are only available online, because it is a journal about mobile health or e-health, it was intended for an online or mobile audience. Publication in this journal requires about \$1,900 fee, we typically did not budget publication cost in our grants or pilot project and sometimes trying to find appropriate funds to cover the cost has delayed the publication. If Oak Fund can subscribe the journal and reduce the publication cost, it would help faculty and other researchers in TAMU a lot.

Associate Professor, Texas A&M Health Science Center

I also would like to put my support on the Oak Fund. Hope my support to encourage researchers at Texas A&M to publish their research efforts.

Postdoctoral Fellow, Texas A&M Health Science Center

We need open access because of the speed at which accepted publications get published and cited. We pursue NIH funding which has gotten very competitive. To have our research published quickly and circulated widely is a very important competitive advantage.

Professor, College of Veterinary Medicine and Biomedical Sciences

I too would like to add my support for the Oak Fund, as having access to Open Access journals broadens our potential audience and is in-line with promoting open review & citation of Texas A&M researchers' efforts.

To follow-up on a previous email, can you or Dr. Clement provide an update on whether this is something that has or will be renewed?

Assistant Professor, Texas A&M Health Science Center

I'd like to add my endorsement regarding the importance of having such a University-wide fund—to help A&M researchers have the option of publishing in open access journals. Many of the open access journals in our field are highly regarded and have impact factors as high or higher than traditional journals we might be publishing in. Support for such publishing will bring scientific visibility to both the author and A&M.

Regents and Distinguished Professor, Texas A&M Health Science Center

³ Harnad, S. and T. Brody. 2004. Comparing the impact of open access (OA) vs. non-OA articles in the same journals: D-Lib Magazine 10(June).

Moed, H. F. 2007. The effect of "open access" upon citation impact: An analysis of ArXiv's Condensed Matter Section. J. Am. Soc. Info. Sci. Technol. 58(13): 2145-2154.

Antelman, K. 2004. Do open-access articles have a greater research impact? College & Research Libraries 65:372-382.

Looking Forward to Year 2 of the Program

We can use early allocations from the second year of funding to estimate 2014-2015 funding requests. We allocated all of our 2013-2014 funding at the end of June 2014. We had at least two sets of authors who postponed article submission so that they could take advantage of from the second year of funding.

Comparing allocations over the first 60 days of 2013 to those made in 2014 shows that we are on pace to allocate all of our funding much earlier in the academic year. At this time, requests for OAK Funds have almost doubled those submitted in the first year of the program. To meet demand, we are likely going to need additional funding.

